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PTO/SB/21 (12-97)

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

|                        |                  |
|------------------------|------------------|
| Application Number     | 09/456,027       |
| Filing Date            | December 3, 1999 |
| First Named Inventor   | Gaurav Banga     |
| Group Art Unit         | 2785             |
| Examiner Name          | Not Assigned     |
| Attorney Docket Number | NAP-042          |

Total Number of Pages in This Submission 4

**ENCLOSURES (check all that apply)**

|  |  |  |
|--|--|--|
| <input type="checkbox"/> Fee Transmittal Form                                | <input type="checkbox"/> Assignment Papers (for an Application)                                    | <input type="checkbox"/> After Allowance Communication to Group                            |
| <input type="checkbox"/> Fee Attached  | <input type="checkbox"/> Drawing(s)  | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences        |
| <input type="checkbox"/> Amendment / Response                                | <input type="checkbox"/> Licensing-related Papers  | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final   | <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition               | <input type="checkbox"/> Proprietary Information   |
| <input type="checkbox"/> Affidavits/declaration(s)                           | <input type="checkbox"/> To Convert a Provisional Application                                      | <input type="checkbox"/> Status Letter   |
| <input type="checkbox"/> Extension of Time Request                           | <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):       |
| <input type="checkbox"/> Express Abandonment Request                         | <input type="checkbox"/> Terminal Disclaimer   | Statement Under 37CFR 3.73(b); Return Postcard   |
| <input type="checkbox"/> Information Disclosure Statement                    | <input type="checkbox"/> Small Entity Statement  |  |
| <input type="checkbox"/> Certified Copy of Priority Document(s)              | <input type="checkbox"/> Request for Refund  |  |
| <input type="checkbox"/> Response to Missing Parts/ Incomplete Application   | Remarks  |  |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 |  |  |

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

|                         |                  |                 |
|-------------------------|------------------|-----------------|
| Firm or Individual name | Daniel B. Curtis | Reg. No. 39,159 |
| Signature               |                  |                 |
| Date                    | 03/29/00         |                 |

**CERTIFICATE OF MAILING**

|  |                |      |          |
|--|----------------|------|----------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date 03/29/00 |                |      |          |
| Typed or printed name  | Arlette Malhas |      |          |
| Signature  |                | Date | 03/29/00 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



APR 06 2000

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PTO/SB/81 (11-96)

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APPLICATION**

|                        |                  |
|------------------------|------------------|
| Application Number     | 09/456027        |
| Filing Date            | December 3, 1999 |
| First Named Inventor   | Gaurav Banga     |
| Group Art Unit         | Not Assigned     |
| Examiner Name          | Not Assigned     |
| Attorney Docket Number | NAP-042          |

I hereby appoint:

☒ Practitioners at Customer Number

22883

OR

☐ Practitioner(s) named below:

| Name | Registration Number |
|------|---------------------|
|      |                     |
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as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the Patent and Trademark Office connected therewith.

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☐ Firm or  
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I am the:

☐ Applicant.

☒ Assignee of record of the entire interest  
Certificate under 37 CFR 3.73(b) is enclosed

**SIGNATURE of Applicant or Assignee of Record**

Name FRANCINE B. BELLET

Signature

Date

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PTO/SB/96 (6-98)

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APR 06 2000

**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner:

Gaurav Banga

Application No./Patent No.: 09/456,027

Filed/Issue Date: December 3, 1999

Entitled: Computer Assisted Automatic Error Detection and Diagnosis of File Servers

Network Appliance, Inc., a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: Gaurav Banga To: Network Appliance, Inc.  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
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3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

**NOTE:** A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the PTO. See MPEP 302-302.8]

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

1/24/00  
Date

*Francine S. Bellet*  
Signature

Francine Bellet

Typed or printed name

Corporate Counsel

Title

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COPY



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ASSIGNMENT


NAP-042

WHEREAS, I, Gaurav Banga, a citizen of India, residing at 753 Chestnut Street, Apt. #2, San Carlos, California, 94070 have invented a "Computer Assisted Automatic Error Detection and Diagnosis of File Servers" for which I have executed application papers for a U.S. patent thereon, which was filed on December 3, 1999; Serial No. 09/456,027; and

WHEREAS, Network Appliance, Inc. a California corporation, having a place of business at 495 East Java Avenue, Sunnyvale, CA 94089 is desirous of acquiring the exclusive right, title and interest in and to said invention and in and to the Letters Patent to be granted and issued therefor in the United States of America and its territories and possessions, and in all countries foreign thereto;

NOW, THEREFORE, for a valuable consideration, the receipt of which is hereby acknowledged, I, Gaurav Banga, do sell, assign, transfer and set over unto the said Network Appliance, Inc., its successors and assigns, the full and exclusive right, title and interest in and to said invention, and in and to any and all letters patent to be granted and issued therefor, not only for, to and in the United States of America, its territories and possessions, but also for, to and in all other countries including all priority rights under the International Convention; and we hereby authorize and request the Commissioner of Patents and Trademarks to issue said Letters Patent to said Network Appliance, Inc., its successors and assigns, in accordance with this Assignment.

WITNESS OUR HAND at SANTA CLARA, CA, this 13<sup>th</sup> day of  
JANUARY, 1999.  
2cc

  
\_\_\_\_\_  
Gaurav Banga